



Docket No: 1912-001

#2
T.D.
10/15/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Robert Champion, et al
Serial No.: 09/802,026
Filed: March 8, 2001
For: TECHNIQUES FOR GENERATING AND MANAGING
ELECTRONIC INVESTMENT CONTRACTS
Art Unit: 2161

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Dear Sir/Madam:

This statement is filed to satisfy applicants' duty of candor pursuant to 37 CFR 1.56, 1.97 and 1.98. Copies of citations are submitted along with a copy of PTO Form 1449. As per 37 CFR 1.97(b)(3), consideration of an IDS is believed to be proper at this time because it appears that a first Office Action has not yet been mailed. Accordingly, no fees are due, nor is a Petition required. Submission of cited references is not to be construed as an admission that any particular reference is relevant nor is it to be construed as an admission that any particular reference is prior art.

Respectfully Submitted,

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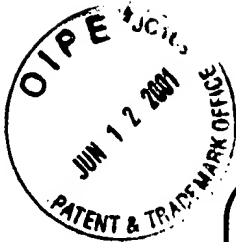
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/802,026
	Filing Date	March 8, 2001
	First Named Inventor	Robert Champion
	Group Art Unit	2161
	Examiner Name	To Be Assigned
Total Number of Pages in This Submission	Attorney Docket Number	1912-001

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Steven R. Bartholomew, Esq.	Registration No. 34,771
Signature	<i>Steven R. Bartholomew</i>	
Date	June 12, 2001	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2
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Complete if Known

Application Number	09/802,026
Filing Date	March 8, 2001
First Named Inventor	Robert R. Champion
Group Art Unit	2161
Examiner Name	TBA
Attorney Docket Number	1912-001

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		6,154,732		Tarbox	11/28/2000	
		6,088,685		Kiron et al	07/11/2000	
		6,064,986		Edelman	05/16/2000	
		6,061,661		Hagan	05/09/2000	
		5,875,437		Atkins	02/23/1999	
		5,852,811		Atkins	12/22/1998	
		5,809,484		Mottola et al.	09/15/1998	
		5,806,048		Kiron et al	09/08/1998	
		5,784,696		Melnikoff	07/21/1998	
		5,774,881		Friend et al	06/30/1998	
		5,644,727		Atkins	07/01/1997	
		5,220,500		Baird et al.	06/15/1993	
		5,126,936		Champion et al	06/30/1992	
		4,953,085		Atkins	08/28/1990	
		4,903,201		Wagner	02/20/1990	
		4,597,046		Musmanno et al	06/24/1986	
		4,376,978		Musmanno	03/15/1983	
		4,346,442		Musmanno	08/24/1982	
		3,697,693		Deschenes et al	10/10/1972	

FOREIGN PATENT DOCUMENTS

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 2

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Application Number	09/802,026
Filing Date	March 8, 2001
First Named Inventor	Robert R. Champion
Group Art Unit	2161
Examiner Name	To Be Assigned
Attorney Docket Number	1912-001

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Morningstar.com - Exchange-Traded Funds: What you Should Know (available from the Internet at http://news.mornin...com/doc/article/0,1,3503,00.htm) by CHRISTOPHER J. TRAULSEN; 08/24/00.	
		Morningstar.com-Exchange-Traded Funds: Making Sense of the New Zoo (available from the Internet at http://morningstar.netscape.com/doc/article/0,1,3838,00.htm); by CHRISTOPHER J. TRAULSEN; 10/25/00.	
		Indexing Basics -(available from the Internet at http://www.indexfundsonline.com/basic.htm).	
		Morningstar.com-Exchange-Traded Funds: Are They Right for You? (available from the Internet at http://news.mornin...com/doc/article/0,1,3558,00.htm) by CHRISTOPHER J. TRAULSEN; 10/25/00.	

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Signature

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